



COPY OF PAPERS
ORIGINALLY FILED

Attorney's Docket No.: 10454-024001 / P-4374

4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Phillip A. Porras et al. Art Unit :
Serial No. : 09/996,154 Examiner :
Filed : November 28, 2001
Title : APPLICATION-LAYER ANOMALY AND MISUSE DETECTION

Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Please correct the Filing Receipt for the above-referenced application. The city in which the first inventor listed lives is spelled incorrect, and should read "Cupertino". Also, the word "Detection" is missing from the title of the application, and should be inserted as the last word in the title. Lastly, on the Combined Declaration and Power of Attorney that we are submitting as a Response to Missing Parts, one of the inventor's, Mr. Magnus Almgren, has noted an address change, which is now 105 Freelon Street, #9, San Francisco, CA 94017-1677.

Please supply a corrected Filing Receipt to the undersigned with respect to this application. A copy of the original Filing Receipt showing the desired changes in red ink is attached for your convenience.

No fee is believed to be due. If, however, there are any charges or credits, please apply them to Deposit Account No. 06-1050.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

February 12, 2002
Date of Deposit

Karen B. Lacerda
Signature

Karen B. Lacerda
Typed or Printed Name of Person Signing Certificate

Applicant : Phillip A. Porras et al.
Serial No. : 09/996,154
Filed : November 28, 2001
Page : 2

Attorney's Docket No.: 10454-024001 / P-4374

Respectfully submitted,

Date: February 12, 2002

Kenneth F. Kozik
Kenneth F. Kozik
Reg. No. 36,572

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20388700.doc

DLF
KFK

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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/996,154 | 11/28/2001 | 2182 | 664 | 10454-024001 | 5 | 34 | 7 |

RECEIVED

CONFIRMATION NO. 2117

DAVID L. FEIGENBAUM
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804DEC 2 3 2001
DAVID L. FEIGENBAUM

FILING RECEIPT



OC000000007198803

Date Mailed: 12/14/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Phillip Andrew Porras, ~~Cupertino~~, CA; CUPERTINO
Magnus Almgren, Mountain View, CA;
Ulf E. Lindqvist, Mountain View, CA;
Steven Mark Dawson, Menlo Park, CA;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 12/14/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

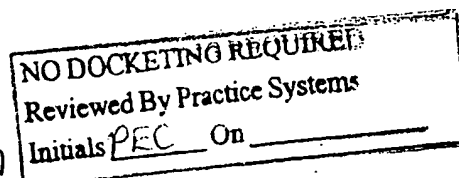
Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Application-layer anomaly and misuse Detection



Preliminary Class



UNITED STATES PATENT AND TRADEMARK OFFICE

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Bib Data Sheet

CONFIRMATION NO. 2117

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|------------------------------------|---|---------------------|-------------------------------|--|
| SERIAL NUMBER 09/996,154 | FILING DATE 11/28/2001 RULE | CLASS 713 | GROUP ART UNIT 2182 | ATTORNEY DOCKET NO. 10454-024001 |
|------------------------------------|---|---------------------|-------------------------------|--|

APPLICANTS

Phillip Andrew Porras, Cupertino, CA;
Magnus Almgren, San Francisco, CA;
Ulf E. Lindqvist, Mountain View, CA;
Steven Mark Dawson, Menlo Park, CA;

** CONTINUING DATA *****

** FOREIGN APPLICATIONS *****

IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** SMALL ENTITY **

** 12/14/2001

| | | | | |
|--|-------------------------------|----------------------------|---------------------------|--------------------------------|
| Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no | STATE OR COUNTRY CA | SHEETS DRAWING 5 | TOTAL CLAIMS 34 | INDEPENDENT CLAIMS 7 |
| 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance | | | | |
| Verified and Acknowledged _____ Examiner's Signature Initials | | | | |

ADDRESS

DAVID L. FEIGENBAUM
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

TITLE

Application-layer anomaly and misuse detection

| | | |
|-----------------------------------|---|--|
| FILING FEE RECEIVED 729 | FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following: | <input type="checkbox"/> All Fees |
| | | <input type="checkbox"/> 1.16 Fees (Filing) |
| | | <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) |
| | | <input type="checkbox"/> 1.18 Fees (Issue) |
| | | <input type="checkbox"/> Other _____ |
| | | <input type="checkbox"/> Credit |

I hereby appoint the following attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

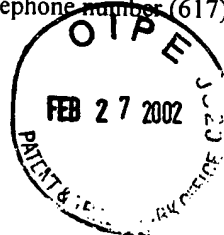
David L. Feigenbaum, Reg. No. 30,378
Steven S. Weiner, Reg. No. 38,360
Denis G. Maloney, Reg. No. 29,670
Ellen S. Sein Aye, Reg. No. 42,729

Kenneth F. Kozik, Reg. No. 36,572
Edward E. Davis, Reg. No. 35,112
Timothy A. French, Reg. No. 30,175

Address all telephone calls to DAVID L. FEIGENBAUM at telephone number (617) 542-5070

Address all correspondence to DAVID L. FEIGENBAUM at:

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225 Franklin Street
Boston, Massachusetts 02110-2804



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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full Name of Inventor: PHILLIP ANDREW PORRAS

Inventor's Signature: *Phillip Andrew Porras*

Date: 1/22/2002

Residence Address: Cupertino, CA
Citizenship: United States
Post Office Address: 19924 Wheaton Drive
Cupertino, CA 95014

Full Name of Inventor: MAGNUS ALMGREN

Inventor's Signature: *Magnus Almgren*

Date: 12/20/01

Residence Address: ~~Mountain View, CA~~ * San Francisco, CA
Citizenship: Sweden
Post Office Address: ~~100 N. Whisman Road, #4316~~ * 105 Freelon Street, #9
~~Mountain View, CA 94043~~ * San Francisco, CA 94107-1677

Full Name of Inventor: ULF E. LINDQVIST

Inventor's Signature: *Ulf Lindqvist*

Date: 12/20/01

Residence Address: Mountain View, CA
Citizenship: Sweden
Post Office Address: 1080 Church Street
Mountain View, CA 94041



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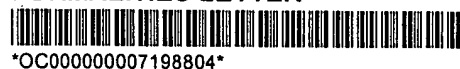
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/996,154 | 11/28/2001 | Phillip Andrew Porras | 10454-024001 |

DAVID L. FEIGENBAUM
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225 Franklin Street
Boston, MA 02110-2804



CONFIRMATION NO. 2117
FORMALITIES LETTER



Date Mailed: 12/14/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/07/2002 BABRAHA1 00000027 09996154

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Serial No. : 09/996,154 Examiner :
Filed : November 28, 2001
Title : APPLICATION-LAYER ANOMALY AND MISUSE DETECTION

BOX MISSING PARTS

Commissioner for Patents
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application under 37 U.S.C. §1.53(b) mailed December 14, 2001 (copy enclosed), applicant claims small entity status (see 37 CFR 1.27) and submits herewith the following:

- ☒ Payment of the surcharge of \$65 for late filing of the basic filing fee and/or declaration;
- ☒ A check in the total amount of \$65 is attached;
- ☒ A Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63; and
- ☒ A Request for Corrected Official Filing Receipt.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit

February 12, 2002

Signature

Karen B. Lacerda

Karen B. Lacerda

Typed or Printed Name of Person Signing Certificate

Applicant : Phillip A. Porras et al.
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Page : 2

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It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: February 12, 2002

Kenneth F. Kozik
Kenneth F. Kozik
Reg. No. 36,572

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